

2/28/01



U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032
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PTO/SB/05 (03-01)

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 4041.004
First Inventor Bruce Lund
Title Rolling and Standing Toy Doll
Express Mail Label No. EL 759624875 TTS

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 13]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages]
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
37 CFR 3.73(b) Statement of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS) PTO-1449
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☒ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
16. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
Prior application information Examiner Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name Jack Shore
Hamman & Benn
Address 10 South LaSalle St, Suite 3300
City Chicago State IL Zip Code 60603
Country US Telephone 312-372-2920 Fax 312-372-7762

Name (Print/Type) Jack Shore Registration No. (Attorney/Agent) 17,551
Signature [Signature] Date 12/28/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 370.00

Complete if Known

Application Number
Filing Date
First Named Inventor Bruce Lund
Examiner Name
Group Art Unit
Attorney Docket No. 4041.009

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number 08-0425
Deposit Account Name

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 740 201 370			Utility filing fee	370.00
106 330 206 165			Design filing fee	
107 510 207 255			Plant filing fee	
108 740 208 370			Reissue filing fee	
114 160 214 80			Provisional filing fee	

SUBTOTAL (1) (\$) 370.00

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
20	3		-20** = 0		
			-3** = 0		

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9			Claims in excess of 20
102 84 202 42			Independent claims in excess of 3
104 280 204 140			Multiple dependent claim, if not paid
109 64 209 42			** Reissue independent claims over original patent
110 18 210 9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65				Surcharge - late filing fee or oath	
127 50 227 25				Surcharge - late provisional filing fee or cover sheet	
139 130 139 130				Non-English specification	
147 2,520 147 2,520				For filing a request for ex parte reexamination	
112 920* 112 920*				Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*				Requesting publication of SIR after Examiner action	
116 110 215 55				Extension for reply within first month	
116 400 216 200				Extension for reply within second month	
117 820 217 460				Extension for reply within third month	
118 1,440 218 720				Extension for reply within fourth month	
128 1,960 228 980				Extension for reply within fifth month	
119 320 219 160				Notice of Appeal	
120 320 220 160				Filing a brief in support of an appeal	
121 280 221 140				Request for oral hearing	
138 1,510 138 1,510				Petition to institute a public use proceeding	
140 110 240 55				Petition to revive - unavoidable	
141 1,280 241 640				Petition to revive - unintentional	
142 1,280 242 640				Utility issue fee (or relapse)	
143 460 243 230				Design issue fee	
144 620 244 310				Plant issue fee	
122 130 122 130				Petitions to the Commissioner	
123 50 123 50				Processing fee under 37 CFR 1.17(c)	
126 180 126 180				Submission of Information Disclosure Stmt	
581 40 581 40				Recording each patent assignment per property (times number of properties)	
146 740 246 370				Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740 249 370				For each additional invention to be examined (37 CFR § 1.129(b))	
179 740 279 370				Request for Continued Examination (RCE)	
169 900 169 900				Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print/Type) Jack Shore
Signature Jack Shore

Registration No. 17,551
(Attorney/Agent)

Complete (if applicable)

Telephone 312-372-2920
Date 12/29/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**First Named Inventor Bruce LundTitle Rolling and Standing Toy DollAtty Docket Number 4041.009

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/25/01
Date

Jack Shore
Signature

Jack Shore

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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